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(Only for new nonprovisional applications under 37 CFR 1.53(b))

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- | | | | | | |
|----|-------------------------------------|--|---------------------------|---------------------------------------|--|
| 1. | <input checked="" type="checkbox"/> | Fee Transmittal Form
<i>Submit an original, and a duplicate for fee processing</i> | | 6. | <input type="checkbox"/> Microfiche Computer Program (<i>Appendix</i>) |
| 2. | <input checked="" type="checkbox"/> | Specification
<i>(preferred arrangement set forth below)</i> | [Total Pages <u>50</u>] | 7. | <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission
<i>(if applicable, all necessary)</i> |
| | | -Descriptive title of the Invention
-Cross Reference to Related Applications
-Statement Regarding Fed sponsored R&D
-Reference to Microfiche Appendix
-Background of the Invention
-Brief Summary of the Invention
-Brief Description of the Drawings (<i>if filed</i>)
-Detailed Description of the Invention (including drawings, <i>if filed</i>)
-Claim(s)
-Abstract of the Disclosure | | a. | <input type="checkbox"/> Computer Readable Copy

<input type="checkbox"/> Paper Copy (identical to computer copy)

<input type="checkbox"/> Statement verifying identity of above copies |
| 3. | <input checked="" type="checkbox"/> | Drawing(s) (35 USC 113) | [Total Sheets <u>26</u>] | ACCOMPANYING APPLICATION PARTS | |
| 4. | <input checked="" type="checkbox"/> | Oath or Declaration (Unexecuted) | [Total Sheets <u>2</u>] | 8. | <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) |
| | <input checked="" type="checkbox"/> | Newly executed (original or copy) | | 9. | <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney
<i>(when there is an assignee)</i> |
| | <input type="checkbox"/> | Copy from a prior application (37 CFR 1.63(d))
<i>(for continuation/divisional with Box 17 completed)</i>
[Note Box 5 below] | | 10. | <input type="checkbox"/> English Translation Document (<i>if applicable</i>) |
| | <input type="checkbox"/> | DELEGATION OF INVENTOR(S)
Signed statement attached identifying inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b) | | 11. | <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS
Statement (IDS)/PTO-1449 Citations |
| 5. | <input checked="" type="checkbox"/> | Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. | | 12. | <input type="checkbox"/> Preliminary Amendment |
| | | | | 13. | <input type="checkbox"/> Return Receipt Postcard (MPEP 503)
<i>(Should be specifically itemized)</i> |
| | | | | 14. | <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Statement(s) Status still proper and desired |
| | | | | 15. | <input type="checkbox"/> Certified Copy of Priority Document(s)
<i>(if foreign priority is claimed)</i> |
| | | | | 16. | <input type="checkbox"/> Other: |

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
12. ☐ Preliminary Amendment
13. ☐ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity ☐ Statement filed in prior application,
Statement(s) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09/636,588 filed August 10, 2000

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

24341 (Insert Customer No. or
Attach bar code label here)

or ☐ Correspondence address below

NAME _____

Pennie & Edmonds LLP

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PENNIE & EDMONDS LLP
 COUNSELLORS AT LAW
 1155 Avenue of the Americas
 New York, N.Y. 10036-2711
 (212) 790-9090

ATTORNEY DOCKET NO. 10320-006-999Date: March 21, 2001

Assistant Commissioner for Patents
 Box PATENT APPLICATION
 Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): DILIP GAJENDRAGADKARExecuted on: March 21, 2001

Title of Invention: SYSTEM AND METHOD OF COLLECTING, PROCESSING AND DISPLAYING STOCK
 CERTIFICATE DATA OVER A COMPUTER NETWORK

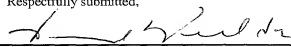
PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	26	-20	6	\$18.00 each	\$ 108.00
Independent	2	-3	0	\$80.00 each	\$ 0.00
Minimum Fee					\$ 710.00
Multiple Dependency Fee If Applicable (\$270.00)					\$ 0.00
Total					\$ 818.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					- \$ 409.00
Total Filing Fee					\$ 409.00

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☐ Priority of application no. filed on in is claimed under 35 U.S.C. § 119.
- ☐ The certified copy of the priority application has been filed in application no. filed
- ☒ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. 09/636,588 filed August 10, 2000.

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,


 DAVID WELD, III
 PENNIE & EDMONDS LLP

21,094
 (Reg. No.)

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.